

EXHIBIT F

Account Information for SOU CHENG LAI

https://ibcust101:6443/CAST/DocumentHandling/searchAccounts

ACCOUNT INFORMATION FOR SOU CHENG LAI

MASTER ACCOUNTS	
1764640	Sun Hung Kai Investment Services Limited Hong Kong Special Administrative Region of China IBroker (Non-disclosed Introducing Broker)
CUSTOMER SUMMARY FOR SOU CHENG LAI	
Title:	SOU CHENG LAI
Applicant ID:	2094935
Type:	INDIVIDUAL - Non-disclosed IBroker Client Master: 1764640 - Sun Hung Kai Investment Services Limited
Legal Country:	Macao Special Administrative Region of China
Mailing Address:	ESTRADA DE SETE TANQUES, 40 EDF VISTA LINDA 12 ANDAR C, TAIPA, , MACAU, Macao Special Administrative Region of China
E-mail Address:	ustrading@shkustrader.com
Primary user name:	laiscl824
Employer:	Set/Unset Employer
Good-faith Review:	
CAFFI - Risk Ranking 2	
RELATIONSHIP TO CURRENT ML RISK COUNTRY - Applicant (Legal Residence/Mailing Address) Account Holder	
RELATIONSHIP TO Non FATF COUNTRY - Applicant (Legal Residence/Mailing Address) Account Holder	

ACCOUNT SUMMARY FOR 5376

ID:	5376 (alias: 5376- -laiscl824-cash) (VAN: 5376-)	Equity yesterday:	0 USD
Type:	Active Trader	Started:	11 Apr 2014
Activated Capabilities:	STK	Approved:	12 Feb 2015
Status:	Open. Clearing Status	Opened:	13 Feb 2015
Phylum	C - Customer	Funded:	
Priority	NOT SET Change Priority	Closed:	
IB Entity:	IBLLC-US	Operator:	
Currency:	USD	Estate:	

TMS tickets

TMS sticky notes

Assign to ASG

Account Diagnostic

PRIOR NOTES

Hide all

1. Note	hide
Reopen of an ND client account.	
Operator: ACES	Date: 12 Feb 2015
2. Note	hide
Submitting account for reopening at customer's request.	
Operator: tiee	Date: 12 Feb 2015
3. Note	hide
Non-disclosed account automatically created	
Operator: ACES	Date: 15 Apr 2014

Account Information for SOU CHENG LAI

<https://fbcust101:6443/CAST/DocumentHandling/searchAccounts>

4. Note	Operator: ACES	Date: 13 Apr 2014	hide
IB's Compliance Department has reviewed the potential match. No further follow-up will be required as the potential match has been determined to be false-positive based on legal name, DOB and location not an exact match.			
Operator: ewong		Date: 14 Apr 2014	

CUSTOMER CONFIGS

Account Config
Nothing Set
Edit Account Config

Internal Account Settings
Nothing Set
Edit Account Settings

ACCOUNT APPROVAL DECISION

CLICK to see Account Reopen History

Decision: Accepted (Reopen)

Proclamations:

I have reviewed the foregoing account application. Based upon the facts and circumstances presented including, but not limited to: the nature of the applicant's business and the markets it serves; the type of account for which the applicant has applied (i.e., cleared or execution-only, proprietary or customer, fully-disclosed or omnibus); the type, purpose and anticipated activity of the account; the nature and duration of IB's relationship with the applicant; publicly available information regarding the anti-money laundering and supervisory regime of the jurisdiction in which the applicant is located, formed and regulated and the jurisdiction where persons with a large ownership interest in the account are located; and the known disciplinary history of the applicant, this applicant is given a Risk Rating of:

2

Deciding User: ACES

Deciding Time: 12 Feb 2015 21:53:20 EST

Additional Remarks: Reopen of an ND client account.\n

PRIOR APPROVAL DECISIONS	Show all
Decision: Accepted (Initial) On 15 Apr 2014 16:03:34 EDT	show
<p>Decision: Accepted (Initial)</p> <p>Proclamations:</p> <p>I have reviewed the foregoing account application. Based upon the facts and circumstances presented including, but not limited to: the nature of the applicant's business and the markets it serves; the type of account for which the applicant has applied (i.e., cleared or execution-only, proprietary or customer, fully-disclosed or omnibus); the type, purpose and anticipated activity of the account; the nature and duration of IB's relationship with the applicant; publicly available information regarding the anti-money laundering and supervisory regime of the jurisdiction in which the applicant is located, formed and regulated and the jurisdiction where persons with a large ownership interest in the account are located; and the known disciplinary history of the applicant, this applicant is given a Risk Rating of:</p> <p>2</p> <p>Deciding User: ACES Deciding Time: 15 Apr 2014 16:03:34 EDT</p> <p>Additional Remarks: Non-disclosed account automatically created\n</p>	

ACCOUNT UPGRADE DECISIONS

Account Information for SOU CHENG LAI

<https://ibcust101:6443/CAST/DocumentHandling/searchAccounts>

All Requested Capabilities: MULT STK

Decision: Accepted

Proclamations:

Deciding Officer:

Deciding Time: 12 Feb 2015 21:53:20 EST

Additional Remarks:

ADDITIONAL APPLICANT/REGISTRATION INFORMATION**APPLICANT INFO**

Applicant ID: 2094935	Primary Phone: 85366435744
Country of Legal residence: Macao Special Administrative Region of China	Secondary Telephone: 85366601729
Applicant Citizenship: Macao Special Administrative Region of China	Mailing Address: ESTRADA DE SETE TANQUES, 40 EDF VISTA LINDA 12 ANDAR C TAIPA, MACAU Macao Special Administrative Region of China
Market Data Status: Professional	Marketing/Sales Info:
	Whitebranding ID: ustrader2

Change Applicant Information

IPO CERTIFICATION INFORMATION

No response

EXCESS SWEEP

None

INVESTMENT EXPERIENCE

	Years of Experience	# of Trades per Year	Knowledge Level
Stocks	N/A	N/A	0
Options	N/A	N/A	0
Commodities	N/A	N/A	0
Bond	N/A	N/A	0
FX	N/A	N/A	0
CFD	N/A	N/A	0

FINANCIAL INFORMATION

Estimated Net Worth	N/A	Estimated Liquid Net Worth	N/A
Net Income	N/A	Sources of Funds (Other than regular income)	Sources Of Income
Total Assets	N/A	Accredited Investor for Private Placement?	No

3 of 7

3/17/2015 11:31 AM

SEC-IB-E-0000080

Account Information for SOU CHENG LAI

<https://ibcust101:6443/CAST/DocumentHandling/searchAccounts>

Invited to Private Placement? No

INVESTMENT OBJECTIVES

N/A

Edit Objective

TAX BASIS CONFIGURATION

TAX BASIS	LAST EDIT	EDITED BY
FIFO (First In First Out)		

WS INFO

BASIC INFORMATION		ADDITIONAL INFORMATION	
Tax Payer ID: Form: View W-8Ben Submitted: 11 Apr 2014 06:11:06 EDT For Interest: No For Dividend: No For Broker: No Expiration Date: None		ATTRIBUTE NAME	ATTRIBUTE VALUE (US-ASCII) ATTRIBUTE VALUE (NATIVE)
		owner_type	Individual Individual
		account_title	Ms. SOU CHENG LAI Ms. SOU CHENG LAI
		citizenship	Macao Special Administrative Region of China Macao Special Administrative Region of China
		country	Macao Special Administrative Region of China Macao Special Administrative Region of China
		address	ESTRADA DE SETE TANQUES 40 EDF VISTA LINDA 12 ANDAR C ESTRADA DE SETE TANQUES 40 EDF VISTA LINDA 12 ANDAR C
		part_2_9a	part_2_9a part_2_9a
		part_2_9a_country	Macao Special Administrative Region of China Macao Special Administrative Region of China
		city_state	TAIPA, MACAU TAIPA, MACAU

View WS Logs

US TAX INFO

No Tax Info or W9 form available or applicable.

IRS TAX VERIFICATION STATUS

No TIN Verification done with IRS.

NON-DISCLOSED INFORMATION

Direct Trading: Yes

Reporting only Q1: no

COMMISSION SCHEDULE

EXCHANGE	CURRENCY / UNIT	TYPE	MINIMUM	MAXIMUM	MAX UNIT	MAX MARKUP AMOUNT	VALUE	PASS THROUGH FEES	MIN AS TICKET CHARGE
----------	-----------------	------	---------	---------	----------	-------------------	-------	-------------------	----------------------

Account Information for SOU CHENG LAI

<https://ibcust101:6443/CAST/DocumentHandling/searchAccounts>

STK									
USD stocks	USD Stocks	Absolute Amount	15.0			0.075	0.03 <= 2000 0.025 <= 5000 0.02 OTHERWISE	no	no

Show History

INTEREST MARKUPS

CURRENCY	UNIT	DEBIT MARKUP	CREDIT MARKUP SHORT CREDIT MARKUP	SHORT CFD CREDIT SHORT INDEX CFD CREDIT	LONG CFD DEBIT LONG INDEX CFD DEBIT
AUD	%	-	- / -	- / -	- / -
CAD	%	-	- / -	- / -	- / -
CHF	%	-	- / -	- / -	- / -
EUR	%	-	- / -	- / -	- / -
GBP	%	-	- / -	- / -	- / -
HKD	%	-	- / -	- / -	- / -
JPY	%	-	- / -	- / -	- / -
USD	%	-	- / -	- / -	- / -

INVESTOR CATEGORY

No Investor Category
History

APPLICANT ASSOCIATED ENTITIES

Show all

MS. SOU CHENG LAI (ACCOUNT HOLDER)

Ms. SOU CHENG LAI

Individual (21595890)

Ownership

Ownership percentage: 100.0

Detailed Ownership Information

Contact Info

Home Phone: 85366435744

Work Phone: 85366801729

Home (PRIMARY): (853) +85366435744
detailsWork (ADDITIONAL): (853) +85366801729
details

Personal Info

Citizenship: Macao Special Administrative

Region of China

DOB: 1969

Legal IDs

National ID: (Macao Special
Administrative Region of China)

Addresses

Residential Address: ESTRADA DE SETE
TANQUES, 40 EDF VISTA LINDA 12 ANDAR C
TAIPA, MACAUMacao Special Administrative Region of
China

Mailing Address: Same as residential address

Employer Info

Employment Status: UNEMPLOYED

Change Info

Request Proof of ID and DOB

Request Proof of Address

Request Proof of SSN

Mark as PEP

Ownership History

Account Information for SOU CHENG LAI

<https://fbcust101:6443/CAST/DocumentHandling/searchAccounts>

Sessions: User: laisc824 (3376) Active in TWS: Yes Token Type: N/A

ACCOUNT ASSOCIATED ENTITIES 3376

Show all

No Associated Entity

COMPLIANCE/REGULATORY INFORMATION

Add Broker-Dealer Affiliation

QUESTION	ANSWER	NATIVE ANSWER
Is the account holder a member of an exchange or an associated person, affiliated person or employee of an exchange member?	N/A	N/A
Is the account holder a member of a regulatory or a self-regulatory organization?	N/A	N/A
Is the account holder: i) a director; ii) a 10% shareholder; or iii) a policy-making officer of any publicly traded company? (Restricted or Controlled Stock)	N/A	N/A
Is exactly a registered financial advisor?	N/A	N/A
Accepted Futures Arbitration Agreement?	No Decision	No Decision

Edit Compliance Information

Change Arbitration Agreement

U.S. SEC LARGE TRADER ID INFORMATION

Show information on U.S. SEC large Trader ID Information

EXCHANGE MEMBERSHIP AND COMMISSION INFO

COMMISSION TYPE	STATUS	DATE REQUESTED	DATE EFFECTIVE
Securities	Bundled		
Commodities	Bundled		

EXCHANGE CODE	CLASS
Add an Exchange class	
REGULATORY CODE	CLASS
Add a Regulatory class	

EQUIFAX ID/ADDRESS VERIFICATION REPORTS

No Equifax/CDC verification reports for this Account.

Account Information for SOU CHENG LAI

<https://fbcust101:6443/CAST/DocumentHandling/searchAccounts>

OFAC, SANCTIONED AND CONTROL LIST/PROHIBITED CUSTOMER LIST SEARCHES

Name	Matches
Search (# 87313842) for Ms. SOU CHENG LAI (Account Holder)	Complete - no match found hide
SOU CHENG LAI	No Matches found. Processing time: 14 Mar 2015 11:10:39 EDT

WorldCheck Tasks

Name	Matches
WorldCheck Search (# 87313843) for Ms. SOU CHENG LAI (Account Holder)	False positive - Not an actual match. hide
SOU CHENG LAI	<p>Processing time: 11 Apr 2014 06:14:57 EDT Additional Notes: IB's Compliance Department has reviewed the potential match. No further follow-up will be required as the potential match has been determined to be false-positive based on legal name, DOB and location not an exact match. (ewong - 14 Apr 2014 22:10:25 EDT)</p> <p>Match found. Name Match: Kun Cheng LAI Name Match: Wen Cheng LAI Name Match: Chung Cheng LAI Name Match: Lai King CHENG Name Match: Sou Tien LAI See Match Details</p>

DOCUMENT SUBMISSION TASKS

Reject Multiple

DOCUMENT SUBMISSION TASK	DOCUMENT RECEIVED	STATUS	ACTIONS
W-8Ben for SOU CHENG LAI	IBLLC-US-2112171.pdf via E-mail 11 Apr 2014 06:43:35 EDT	Tentatively Accepted (ewong) on 14 Apr 2014 22:08:50 EDT	Under Review
Proof of identity and date of birth for Ms. SOU CHENG LAI (Account Holder)	National ID IBLLC-US-2112171.pdf via E-mail 11 Apr 2014 06:43:35 EDT	Tentatively Accepted (ewong) on 14 Apr 2014 22:08:50 EDT	Under Review
Proof of address for Ms. SOU CHENG LAI (Account Holder)	Utility Bill IBLLC-US-2112171.pdf via E-mail 11 Apr 2014 06:43:35 EDT	Tentatively Accepted (ewong) on 14 Apr 2014 22:08:50 EDT	Under Review

COMPLIANCE REVIEWS

No compliance reviews required for this Account.

Form **W-8BEN**

(Rev. February 2008)

Department of the Treasury
Internal Revenue Service**Certificate of Foreign Status of Beneficial Owner
for United States Tax Withholding**► Section references are to the Internal Revenue Code. ► See separate instructions.
► Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

Do not use this form for:

- A U.S. citizen or other U.S. person, including a resident alien individual W-9
- A person claiming that income is effectively connected with the conduct of a trade or business in the United States W-8ECI
- A foreign partnership, a foreign simple trust, or a foreign grantor trust (see instructions for exceptions) W-8ECI or W-8IMY
- A foreign government, international organization, foreign central bank of issue, foreign tax-exempt organization, foreign private foundation, or government of a U.S. possession that received effectively connected income or that is claiming the applicability of section(s) 115(2), 501(c), 892, 895, or 1443(b) (see instructions) W-8ECI or W-8EXP

Note: These entities should use Form W-8BEN if they are claiming treaty benefits or are providing the form only to claim they are a foreign person exempt from backup withholding.

- A person acting as an intermediary W-8IMY

Note: See instructions for additional exceptions.

Part I Identification of Beneficial Owner (See instructions.)

1 Name of individual or organization that is the beneficial owner <u>LAI SOU CHENG</u>		2 Country of incorporation or organization	
3 Type of beneficial owner: <input checked="" type="checkbox"/> Individual <input type="checkbox"/> Corporation <input type="checkbox"/> Disregarded entity <input type="checkbox"/> Partnership <input type="checkbox"/> Simple trust <input type="checkbox"/> Grantor trust <input type="checkbox"/> Complex trust <input type="checkbox"/> Estate <input type="checkbox"/> Government <input type="checkbox"/> International organization <input type="checkbox"/> Central bank of issue <input type="checkbox"/> Tax-exempt organization <input type="checkbox"/> Private foundation			
4 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address. <u>ESTRADA DE SETE TANQUES 40 ED VISTA LINDA 12 ANDAR C TAIPA MACAU</u> City or town, state or province. Include postal code where appropriate. Country (do not abbreviate) <u>MACAU</u> <u>MACAU</u>			
5 Mailing address (if different from above) City or town, state or province. Include postal code where appropriate. Country (do not abbreviate)			
6 U.S. taxpayer identification number, if required (see instructions) <input type="checkbox"/> SSN or ITIN <input type="checkbox"/> EIN		7 Foreign tax identifying number, if any (optional)	
8 Reference number(s) (see instructions)			

Part II Claim of Tax Treaty Benefits (if applicable)

- 9 I certify that (check all that apply):
- a ☒ The beneficial owner is a resident of MACAU within the meaning of the income tax treaty between the United States and that country.
 - b ☐ If required, the U.S. taxpayer identification number is stated on line 6 (see instructions).
 - c ☐ The beneficial owner is not an individual, derives the item (or items) of income for which the treaty benefits are claimed, and, if applicable, meets the requirements of the treaty provision dealing with limitation on benefits (see instructions).
 - d ☐ The beneficial owner is not an individual, is claiming treaty benefits for dividends received from a foreign corporation or interest from a U.S. trade or business of a foreign corporation, and meets qualified resident status (see instructions).
 - e ☐ The beneficial owner is related to the person obligated to pay the income within the meaning of section 267(b) or 707(b), and will file Form 8833 if the amount subject to withholding received during a calendar year exceeds, in the aggregate, \$500,000.
- 10 Special rates and conditions (if applicable—see instructions): The beneficial owner is claiming the provisions of Article _____ of the treaty identified on line 9a above to claim a _____% rate of withholding on (specify type of income): _____
Explain the reasons the beneficial owner meets the terms of the treaty article: _____

Part III Notional Principal Contracts

- 11 ☐ I have provided or will provide a statement that identifies those notional principal contracts from which the income is not effectively connected with the conduct of a trade or business in the United States. I agree to update this statement as required.

Part IV Certification

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- 1 I am the beneficial owner (or am authorized to sign for the beneficial owner) of all the income to which this form relates,
 - 2 The beneficial owner is not a U.S. person,
 - 3 The income to which this form relates is (a) not effectively connected with the conduct of a trade or business in the United States, (b) effectively connected but is not subject to tax under an income tax treaty, or (c) the partner's share of a partnership's effectively connected income, and
 - 4 For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.
- Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner.

Sign Here

Signature of beneficial owner (or individual authorized to sign for beneficial owner)

Date (MM-DD-YYYY)

Capacity in which acting

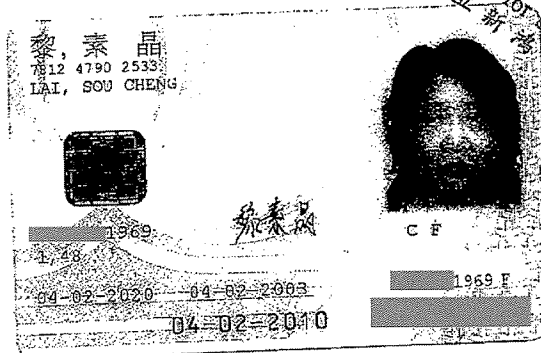
For Paperwork Reduction Act Notice, see separate instructions.

Cat. No. 25047Z

Form **W-8BEN** (Rev. 2-2008)LAI SOU CHENG

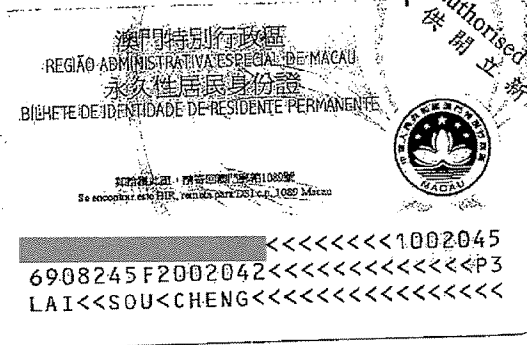
5376

This copy is authorised for SHKF to open A/C only
此副本只供開立新鴻基交易賬戶之用



新鴻基投資服務有限公司-澳門分行	
Sun Hung Kai Investment Services Limited - Macau Branch	
I hereby certify that this is a true copy of the original document which I have seen and that I have met the individual and can confirm that photograph is a true likeness.	
Name of Certifier	MAK HOI NING
Job Title	IC
Date	1/4/2014
Signature	MAK

This copy is authorised for SHKF to open A/C only
此副本只供開立新鴻基交易賬戶之用



電費單 • FACTURA • BILL



澳門電力有限公司 Companhia de Electricidade de Macau - CEM, S.A.

黎素晶
LAI SOU CHENG
七潭公路, 40
美景臺, 12 樓 C
座仔

客戶姓名
LAI SOU CHENG
安裝地址
ESTRADA DE SETE TANQUES
40 ED VISTA LINDA
12 ANDAR C TAIPA MACAU

合約號碼
5000313860
收費類別
A1
按金
澳門幣 219.00

賬單編號: 1651408492

發單時期: 由 25/01/2014 至 26/02/2014

發單日期: 26/02/2014

5071

C

P 005208

	單位	單位價格	金額 (澳門幣)
功率費	11.5	3.372	38.78
電費	231	0.963	222.45
收費調整系數	231	0.360	83.16
政府稅			2.50
本期費用			346.89
本月政府電費補貼			-200.00
上月費用			260.00
繳費 (10/02/2014) - 多謝			-260.00
上月零數撥來			4.71
零數撥入下月			-1.60

請於此日期前繳付: 13/03/2014

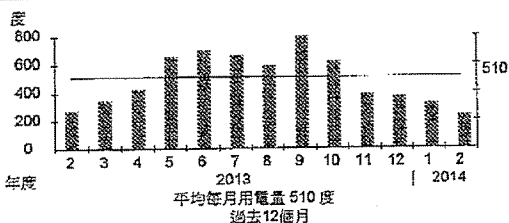
150.00

本月電費將於 13/03/2014 透過自動轉賬在您的中國銀行戶口內扣除。

於到期付款日後繳費須繳付逾期附加費。

若於 21/03/2014 仍未繳費, 供電服務將被暫停。

用電量紀錄圖



讀錶資料

共 33 日用電量				
由 25/01/2014	至	26/02/2014		
下月抄錶日期	26/03/2014			
電錶號碼	本月讀數	上月讀數	乘數	用電量(度)
164621	48788	48557	1.0	231

資訊

累積未使用政府電費補貼 302.33.

新鴻基投資服務有限公司-澳門分行
Sun Hung Kai Investment Services Limited - Macau Branch

I hereby certify that this is a true copy of the original document which I have seen and that I have met the individual and can confirm that photograph is a true likeness.

Name of Certifier	MAE HOI NING
Job Title	IC
Date	1/4/2014
Signature	MAE

收據

蓋印有效

請於繳費時交回此部份



0601

5000313860 合約號碼	150.00 應付金額	13/03/2014 到期付款日	21/03/2014 避免截電日期	BOC01 自動轉賬銀行
--------------------	----------------	---------------------	----------------------	-----------------

澳門電力有限公司 Companhia de Electricidade de Macau - CEM, S.A.

查詢熱線 Linha Info Info Line 2833 9911

搶修服務 Emergência Emergency 2833 9922

www.cem-macau.com

Form W-8BEN(Rev. February 2006)
Department of the Treasury
Internal Revenue Service**Certificate of Foreign Status of Beneficial Owner
for United States Tax Withholding**▶ Section references are to the Internal Revenue Code. ▶ See separate instructions.
▶ Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

Do not use this form for:

- A U.S. citizen or other U.S. person, including a resident alien individual **W-9**
 - A person claiming that income is effectively connected with the conduct of a trade or business in the United States **W-8ECI**
 - A foreign partnership, a foreign simple trust, or a foreign grantor trust (see instructions for exceptions) **W-8ECI or W-8IMY**
 - A foreign government, international organization, foreign central bank of issue, foreign tax-exempt organization, foreign private foundation, or government of a U.S. possession that received effectively connected income or that is claiming the applicability of section(s) 115(2), 501(c), 692, 695, or 1443(b) (see instructions) **W-8ECI or W-8EXP**
- Note:** These entities should use Form W-8BEN if they are claiming treaty benefits or are providing the form only to claim they are a foreign person exempt from backup withholding.
- A person acting as an intermediary **W-8IMY**
- Note:** See instructions for additional exceptions.

Part I Identification of Beneficial Owner (See instructions.)

1 Name of individual or organization that is the beneficial owner <u>LAI SOU CHENG</u>		2 Country of incorporation or organization	
3 Type of beneficial owner: <input checked="" type="checkbox"/> Individual <input type="checkbox"/> Corporation <input type="checkbox"/> Disregarded entity <input type="checkbox"/> Partnership <input type="checkbox"/> Simple trust <input type="checkbox"/> Grantor trust <input type="checkbox"/> Complex trust <input type="checkbox"/> Estate <input type="checkbox"/> Government <input type="checkbox"/> International organization <input type="checkbox"/> Central bank of issue <input type="checkbox"/> Tax-exempt organization <input type="checkbox"/> Private foundation			
4 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address. <u>ESTRADA DE SETE TANCHES 40 ED VISTA LINDA 12 ANDAR C TAIPA MACAU</u> City or town, state or province. Include postal code where appropriate. <u>MACAU</u> Country (do not abbreviate) <u>MACAU</u>			
5 Mailing address (if different from above) City or town, state or province. Include postal code where appropriate. Country (do not abbreviate)			
6 U.S. taxpayer identification number, if required (see instructions) <input type="checkbox"/> SSN or ITIN <input type="checkbox"/> EIN		7 Foreign tax identifying number, if any (optional)	
8 Reference number(s) (see instructions)			

Part II Claim of Tax Treaty Benefits (if applicable)

- 9 I certify that (check all that apply):
- a ☒ The beneficial owner is a resident of MACAU within the meaning of the income tax treaty between the United States and that country.
 - b ☐ If required, the U.S. taxpayer identification number is stated on line 6 (see instructions).
 - c ☐ The beneficial owner is not an individual, derives the item (or items) of income for which the treaty benefits are claimed, and, if applicable, meets the requirements of the treaty provision dealing with limitation on benefits (see instructions).
 - d ☐ The beneficial owner is not an individual, is claiming treaty benefits for dividends received from a foreign corporation or interest from a U.S. trade or business of a foreign corporation, and meets qualified resident status (see instructions).
 - e ☐ The beneficial owner is related to the person obligated to pay the income within the meaning of section 267(b) or 707(b), and will file Form 8833 if the amount subject to withholding received during a calendar year exceeds, in the aggregate, \$500,000.
- 10 Special rates and conditions (if applicable—see instructions): The beneficial owner is claiming the provisions of Article _____ of the treaty identified on line 9a above to claim a _____ % rate of withholding on (specify type of income): _____
Explain the reasons the beneficial owner meets the terms of the treaty article: _____

Part III Notional Principal Contracts

- 11 ☐ I have provided or will provide a statement that identifies those notional principal contracts from which the income is not effectively connected with the conduct of a trade or business in the United States. I agree to update this statement as required.

Part IV Certification

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- 1 I am the beneficial owner (or am authorized to sign for the beneficial owner) of all the income to which this form relates.
- 2 The beneficial owner is not a U.S. person.
- 3 The income to which this form relates is (a) not effectively connected with the conduct of a trade or business in the United States, (b) effectively connected but is not subject to tax under an income tax treaty, or (c) the partner's share of a partnership's effectively connected income, and
- 4 For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner.

Sign Here

LAI SOU CHENG

Signature of beneficial owner (or individual authorized to sign for beneficial owner)

Date (MM-DD-YYYY) 04/01/2014

Capacity in which acting

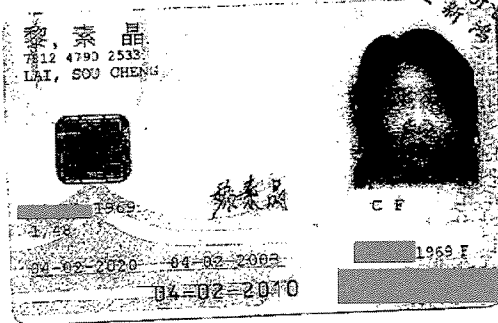
For Paperwork Reduction Act Notice, see separate instructions.

Cat. No. 25047Z

Form **W-8BEN** (Rev. 2-2006)LAI SOU CHENG

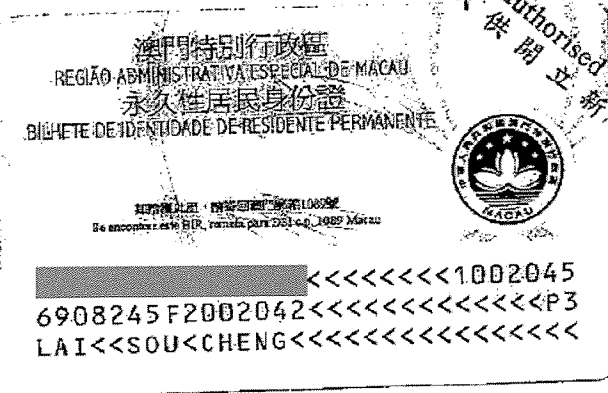
SEC-IB-E-0000570

3376



Lai Sou Cheng

新鴻基投資服務有限公司-澳門分行	
Sun Hung Kai Investment Services Limited - Macau Branch	
I hereby certify that this is a true copy of the original document which I have seen and that I have met the Individual and can confirm that photograph is a true likeness.	
Name of Certifier	MAK HOI NING
Job Title	IC
Date	1/4/2014
Signature	MAK



Macau Special Administrative Region

Permanent Resident Identity Card

If this card is found, please mail it back to PO Box 1089, Macau

[logo:] [Seal of the Government of Macau]

. 電 費 單 • FACTURA • BILL

5376



Companhia de Electricidade de Macau - CEM, S.A.

LAI SOU CHENG

Customer's Name: LAI SOU CHENG

ESTRADA DE SETE TANQUES

Installation Address: Apt. 12C, edf. Vista Linda

40 EDF VISTA LINDA

40 Estrada De Sete Tanques

12 ANDAR C TAIPA MACAU

Taipa, Macau

Contract Number: 5000313860

Bill Type: A1

Amount: MOP\$219.00

Bill Number: 1651408492

Billing Cycle: From January 25, 2014 to February 26, 2014 Billing Date: February 26, 2014

	Unit	Unit Price	Amount (MOP\$)
Power Cost	11.5	3.372	38.78
Electricity Fee	231	0.963	222.45
Fee Adjustment Coefficient	231	0.360	83.16
Government Tax			2.50
Fee During This Cycle			346.89
Government Electricity Fee Subsidy This Month			-200.00
Last Month's Fee			260.00
Amount Paid (February 10, 2014) – Thank you			-260.00
Last Month's Balance			4.71
Balance Allocated to Next Month			-1.60
Please pay this amount before: March 13, 2014			150.00

This month's electricity fee will be deducted from your Bank of China account through automatic transfer on **March 13, 2014**.

If you pay the fee after the due date, then you will have to pay an extra fee for passing the due date.

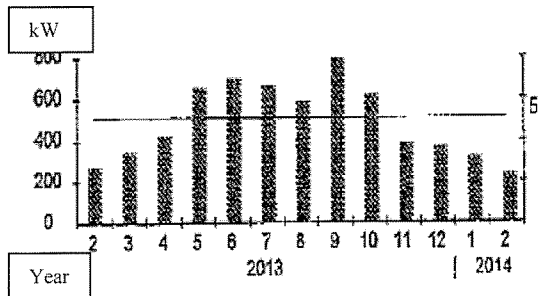
If you still have not paid your electricity bill before **March 21, 2014**, then power supply will be suspended.



(amount payable)

Power usage record

Chart information



A total of 33 days for power usage

From January 25, 2014 to February 26, 2014

Next month's reading date: March 26, 2014

Electricity Meter Number	This Month's Reading	Last Month's Reading	Multiplier	Power Usage (k/W)
164621	48788	48557	1.0	231

The average monthly power usage in the past 12 months was 510 k/W.

Information

Accumulated unused government electricity fee subsidy is 302.33.

Please return this portion when paying your electricity bill.

新鴻基投資服務有限公司-澳門分行 Sun Hung Kai Investment Services Limited - Macau Branch	
I hereby certify that this is a true copy of the original document which I have seen and that I have met the individual and can confirm that photograph is a true likeness.	
Name of Certifier	MAK HOI NING
Job Title	IC
Date	1/4/2014
Signature	MAK

Receipt

Valid if stamped



5000313860 Contract Number	150.00 Amount Payable	March 13, 2014 Due Date	March 21, 2014 Due Date to Avoid Suspension of Power Supply	BOC01 Bank for Automatic Transfer
-------------------------------	--------------------------	----------------------------	--	--------------------------------------

0601

Hong Kong Electric Company Limited - Macau Branch

SEC-IB-E-0000572

Registration Status

https://ibcust101:6443/CAST/DocumentHandling/accountInformation?user_name=laic824&acc...

REGISTRATION STATUS

MASTER ACCOUNTS	
1764640	Sun Hung Kai Investment Services Limited Hong Kong Special Administrative Region of China IBroker (Non-disclosed Introducing Broker)
CUSTOMER SUMMARY FOR SOU CHENG LAI	
Title:	SOU CHENG LAI
Applicant ID:	2094935
Type:	INDIVIDUAL - Non-disclosed IBroker Client Master: 1764640 - Sun Hung Kai Investment Services Limited
Legal Country:	Macao Special Administrative Region of China
Mailing Address:	ESTRADA DE SETE TANQUES, 40 EDF VISTA LINDA 12 ANDAR C, TAIPA, , MACAU, Macao Special Administrative Region of China
E-mail Address:	ustrading@shkustrader.com
Primary user name:	laic824
Employer:	Set/Unset Employer
Good-faith Review:	
CAFFI - Risk Ranking 2	
RELATIONSHIP TO CURRENT ML RISK COUNTRY - Applicant (Legal Residence/Mailing Address) Account Holder	
RELATIONSHIP TO Non FATF COUNTRY - Applicant (Legal Residence/Mailing Address) Account Holder	
ACCOUNT SUMMARY FOR 5376	

ID:	5376 (alias: laic824-cash)	Equity yesterday:	0 USD
Type:	Active Trader	Started:	11 Apr 2014
Activated Capabilities:	STK	Approved:	12 Feb 2015
Status:	Open. Clearing Status	Opened:	13 Feb 2015
Phylum	C - Customer	Funded:	
Priority	NOT SET Change Priority	Closed:	
IB Entity:	IBLLC-US	Operator:	
Currency:	USD	Estate:	

TMS tickets

TMS sticky notes

Assign to ASG

Account Diagnostic

Registration Process

Dynamic Registration Tasks

Approval Requirements

Customer Tasks

Summary of Steps			
Online steps Completed	Paper PDF Forms Not required	Funding Instruction Not required	407 Letter Not required
ID Documents Received	Equifax Not required	OFAC Status Completed WordCheck Status Completed	Other compliance checks Not required

Application	
Application Type: FULL	Process Type: CUST_ENTRY - CUSTOMER
Current Sequence: APPLICATION	Multi Account Eligible: No
Status: APP STATUS	Multi Master Account:

Registration Status

https://ibcust101:6443/CAST/DocumentHandling/accountInformation?user_name=laiscl824&acc...[View All Registration Steps](#)

Application Steps
APPLICATION
APP_STATUS
-

ONLINE STEPS REQUIRED TO OPEN OR UPGRADE ACCOUNT

Sort Steps By Name

Account	Registration Step	Status/ Date Completed	Type
All required online steps completed Hide all			
U1345376	Margin and Products	15 Apr 2014 21:48:05 EDT	to complete
U1345376	Market Data Selection	25 Apr 2014 10:17:09 EDT	to complete
U1345376	W-8Ben Current Status: W-0	11 Apr 2014 06:11:06 EDT	to complete

OTHER ONLINE STEPS (NOT REQUIRED TO OPEN OR UPGRADE ACCOUNT)

No other registration steps required for this Account.

DOCUMENT COPY OF ONLINE FORMS

Account	Registration Step	Status/ Date Completed	Type
All documents received Hide all			
U1345376	W-8Ben Current Status: W-0	14 Apr 2014 22:08:50 EDT	to send

DOCUMENT SUBMISSION STEPS

Document required	Document received	Processing notes	Account id
All required documents sent Hide all			
Proof of identity and date of birth for Ms. SOU CHENG LAI (Account Holder)	Received National ID via E-mail on 11 Apr 2014 06:43:35 EDT	Tentatively Accepted (ewong) on 14 Apr 2014 22:08:50 EDT	U1345376
Proof of address for Ms. SOU CHENG LAI (Account Holder)	Received Utility Bill via E-mail on 11 Apr 2014 06:43:35 EDT	Tentatively Accepted (ewong) on 14 Apr 2014 22:08:50 EDT	U1345376

407 LETTER/EMAIL FROM EMPLOYER REQUIRED DUE TO BROKER-DEALER AFFILIATION

Registration Status

https://ibcust101:6443/CAST/DocumentHandling/accountInformation?user_name=laiscl824&acc...

No Employer Email (407 letter) required for this Account.

EQUIFAX ID/ADDRESS VERIFICATION REPORTS

No Equifax/CDC verification reports for this Account.

OFAC, SANCTIONED AND CONTROL LIST/PROHIBITED CUSTOMER LIST SEARCHES

Name	Matches	
Search (# 87313842) for Ms. SOU CHENG LAI (Account Holder)		Complete - no match found hide
SOU CHENG LAI	No Matches found.	Processing time: 14 Mar 2015 11:10:39 EDT

WORLD CHECK TASKS

Name	Matches	
WorldCheck Search (# 87313843) for Ms. SOU CHENG LAI (Account Holder)		False positive - Not an actual match. hide
SOU CHENG LAI	Match found. Name Match: Kun Cheng LAI Name Match: Wen Cheng LAI Name Match: Chung Cheng LAI Name Match: Lai King CHENG Name Match: Sou Tien LAI See Match Details	Processing time: 11 Apr 2014 06:14:57 EDT

COMPLIANCE REVIEWS

No compliance reviews required for this Account.

HFCIP COMPLIANCE REVIEWS

No compliance reviews required for this Account.

Additional Account Information

https://ibcust101:6443/CAST/DocumentHandling/accountInformation?user_name=laisc1824&acc...

ADDITIONAL ACCOUNT INFORMATION

MASTER ACCOUNTS	
1764640	Sun Hung Kai Investment Services Limited Hong Kong Special Administrative Region of China IBroker (Non-disclosed Introducing Broker)
CUSTOMER SUMMARY FOR SOU CHENG LAI	
Title:	SOU CHENG LAI
Applicant ID:	2094935
Type:	INDIVIDUAL - Non-disclosed IBroker Client Master: 1764640 - Sun Hung Kai Investment Services Limited
Legal Country:	Macao Special Administrative Region of China
Mailing Address:	ESTRADA DE SETE TANQUES, 40 EDF VISTA LINDA 12 ANDAR C, TAIPA, , MACAU, Macao Special Administrative Region of China
E-mail Address:	ustrading@shkustrader.com
Primary user name:	laisc1824
Employer:	Set/Unset Employer
Good-faith Review:	
ACCOUNT SUMMARY FOR 5376	

ID:	5376 (alias: laisc1824-cash) (VAN: 5376-)	Equity yesterday:	0 USD
Type:	Active Trader	Started:	11 Apr 2014
Activated Capabilities:	STK	Approved:	12 Feb 2015
Status:	Open. Clearing Status	Opened:	13 Feb 2015
Phylum:	C - Customer	Funded:	
Priority:	NOT SET Change Priority	Closed:	
IB Entity:	IBLLC-US	Operator:	
Currency:	USD	Estate:	

TMS tickets

TMS sticky notes

Assign to ASG

Account Diagnostic

Login (3 years)

Login (All)

Account Configuration

OFAC Check History

Token Share

PTAM Info

Consolidation Info

AM LOGIN ACTIVITY (LAST 3 YEARS)

Showing 3 years of AM login attempts

Start/Stop IP Tracking

USER NAME	LOGIN DATE	RESULT	REMOTE HOST
laisc1824	2014-12-31 09:56:29	Success	14.123.216.112
laisc1824	2014-06-11 00:46:42	Success	125.88.77.13
laisc1824	2014-04-25 10:21:31	Success	122.100.230.96
laisc1824	2014-04-25 10:16:44	Success	122.100.230.96
laisc1824	2014-04-24 05:57:44	Success	122.100.230.96
laisc1824	2014-04-24 05:57:01	Success	122.100.230.96

IBroker Client Account

https://ibcust101:6443/CAST/DocumentHandling/accountInformation?user_name=laiscl824&acc...

IBROKER CLIENT ACCOUNT

MASTER ACCOUNTS			
1764640	Sun Hung Kai Investment Services Limited	Hong Kong Special Administrative Region of China	IBroker (Non-disclosed Introducing Broker)

CUSTOMER SUMMARY FOR SOU CHENG LAI

Title:	SOU CHENG LAI
Applicant ID:	2094935
Type:	INDIVIDUAL - Non-disclosed IBroker Client Master: 1764640 - Sun Hung Kai Investment Services Limited
Legal Country:	Macao Special Administrative Region of China
Mailing Address:	ESTRADA DE SETE TANQUES, 40 EDF VISTA LINDA 12 ANDAR C, TAIPA, , MACAU, Macao Special Administrative Region of China
E-mail Address:	ustrading@shkustrader.com
Primary user name:	laiscl824
Employer:	Set/Unset Employer
Good-faith Review:	

ACCOUNT SUMMARY FOR 5376

5376

ID:	5376 (alias: 5376-laiscl824-cash) (VAN: 5376-laiscl824-cash)	Equity yesterday:	0 USD
Type:	Active Trader	Started:	11 Apr 2014
Activated Capabilities:	STK	Approved:	12 Feb 2015
Status:	Open. Clearing Status	Opened:	13 Feb 2015
Phylum:	C - Customer	Funded:	
Priority:	NOT SET Change Priority	Closed:	
IB Entity:	IBLLC-US	Operator:	
Currency:	USD	Estate:	

TMS tickets

TMS sticky notes

Assign to ASG

Account Diagnostic

PENDING/REJECTED INVOICES

No pending/rejected invoices

ADVISOR INVOICES (LAST 2 MONTHS)

No Invoices for the last 2 months

COMMISSION SCHEDULE

EXCHANGE	CURRENCY / UNIT	TYPE	MINIMUM	MAXIMUM	MAX UNIT	MAX MARKUP AMOUNT	VALUE	PASS THROUGH FEES	MIN AS TICKET CHARGE
STK									
USD stocks	USD Stocks	Absolute Amount	15.0			0.075	0.03 <= 2000 0.025 <= 5000 0.02 OTHERWISE	no	no

IBroker Client Account

https://ibcust101:6443/CAST/DocumentHandling/accountInformation?user_name=laiscl824&acc...

Show History

INTEREST MARKUPS

No Record

CURRENT FEES

EXCHANGE	CURRENCY / UNIT	TYPE	MINIMUM	MAXIMUM	MAX UNIT	MAX MARKUP AMOUNT	VALUE	PASS THROUGH FEES	MIN AS TICKET CHARGE
STK									
USD stocks	USD Stocks	Absolute Amount	15.0			0.075	0.03 <= 2000 0.025 <= 5000 0.02 OTHERWISE	no	no

FA WRAP FEE/ACATS REQUESTS

No requests

Additional Account Information

<https://ibcust101:6443/CAST/DocumentHandling/accountInformation?u...>

ADDITIONAL ACCOUNT INFORMATION

MASTER ACCOUNTS			
1764640	Sun Hung Kai Investment Services Limited	Hong Kong Special Administrative Region of China	IBroker (Non-disclosed Introducing Broker)
CUSTOMER SUMMARY FOR: SOU CHENG LAI			
Title:	SOU CHENG LAI		
Applicant ID:	2094935		
Type:	INDIVIDUAL - Non-disclosed IBroker Client Master: 1764640 - Sun Hung Kai Investment Services Limited		
Legal Country:	Macao Special Administrative Region of China		
Mailing Address:	ESTRADA DE SETE TANQUES, 40 EDF VISTA LINDA 12 ANDAR C, TAIPA, , MACAU, Macao Special Administrative Region of China		
E-mail Address:	ustrading@shkustrader.com		
Primary user name:	lalscl824		
Employer:	Set/Unset Employer		
Good-faith Review:			

5376

ID:	5376 (alias: lalscl824-cash) (VAN: 5376-	Equity yesterday:	0 USD
Type:	Active Trader	Started:	11 Apr 2014
Activated Capabilities:	STK	Approved:	12 Feb 2015
Status:	Open, Clearing Status	Opened:	13 Feb 2015
Phylum:	C - Customer	Funded:	
Priority:	NOT SET Change Priority	Closed:	
IB Entity:	IBLLC-US	Operator:	
Currency:	USD	Estate:	

YMS tickets

YMS sticky notes

Assign to ARQ

Account Diagnostics

[Login \(3 years\)](#)
[Login \(All\)](#)
[Account Configuration](#)
[OFAC Check History](#)
[Token Share](#)
[PTAM Info](#)
[Consolidation Info](#)

Full list of AM login attempts

USER NAME	LOGIN DATE	RESULT	REMOTE HOST
lalscl824	2014-12-31 09:56:29	Success	14.123.216.112
lalscl824	2014-06-11 00:46:42	Success	125.88.77.13
lalscl824	2014-04-23 10:21:31	Success	122.100.230.96
lalscl824	2014-04-25 10:16:44	Success	122.100.230.96
lalscl824	2014-04-24 05:57:44	Success	122.100.230.96
lalscl824	2014-04-24 05:57:01	Success	122.100.230.96

Customer Service/Supervisory System/Introducing Broker

Summary Information for SOU CHENG LAI

https://ibcust101.6443/CAST/DocumentHandling/accountInformation?user_name=laisc1824&a...

SUMMARY INFORMATION FOR SOU CHENG LAI

MASTER ACCOUNTS			
I764640	Sun Hung Kai Investment Services Limited	Hong Kong Special Administrative Region of China	IBroker (Non-disclosed Introducing Broker)

CUSTOMER SUMMARY FOR SOU CHENG LAI	
Title:	SOU CHENG LAI
Applicant ID:	2094935
Type:	INDIVIDUAL - Non-disclosed IBroker Client Master: I764640 - Sun Hung Kai Investment Services Limited
Legal Country:	Macao Special Administrative Region of China
Mailing Address:	ESTRADA DE SETE TANQUES, 40 EDF VISTA LINDA 12 ANDAR C, TAIPA, MACAU, Macao Special Administrative Region of China
E-mail Address:	ustrading@shkustrader.com
Primary user name:	laisc1824
Employer:	Set/Unset Employer
Good-faith Review:	
CAFFI - Risk Ranking 2	
RELATIONSHIP TO CURRENT ML RISK COUNTRY - Applicant (Legal Residence/Mailing Address) Account Holder	
RELATIONSHIP TO Non FATF COUNTRY - Applicant (Legal Residence/Mailing Address) Account Holder	

ACCOUNT SUMMARY FOR U1345376

376

ID:	5376 (alias: 5376- laisc1824-cash) (VAN: 5376-	Equity yesterday:	0 USD
Type:	Active Trader	Started:	11 Apr 2014
Activated Capabilities:	STK	Approved:	12 Feb 2015
Status:	Open. Clearing Status	Opened:	13 Feb 2015
Phylum:	C - Customer	Funded:	
Priority:	NOT SET Change Priority	Closed:	
IB Entity:	IBLLC-US	Operator:	
Currency:	USD	Estate:	

TMS tickets

TMS sticky notes

Assign to ASG

Account Diagnostic

ACCOUNT APPROVAL DECISION

DATE OPENED	DATE CLOSED
2015-02-13 16:31:14	
2014-04-15 16:34:27	2015-02-10 15:02:04

1 of 4

Decision: Accepted (Reopen)

4/9/2015 10:56 AM

Summary Information for SOU CHENG LAI

https://ibcust101:6443/CAST/DocumentHandling/accountInformation?user_name=laisc1824&a...

2014-04-15 16:34:27

2015-02-10 15:02:04

Decision: Accepted (Reopen)

Proclamations:

I have reviewed the foregoing account application. Based upon the facts and circumstances presented including, but not limited to: the nature of the applicant's business and the markets it serves; the type of account for which the applicant has applied (i.e., cleared or execution-only, proprietary or customer, fully-disclosed or omnibus); the type, purpose and anticipated activity of the account; the nature and duration of IB's relationship with the applicant; publicly available information regarding the anti-money laundering and supervisory regime of the jurisdiction in which the applicant is located, formed and regulated and the jurisdiction where persons with a large ownership interest in the account are located; and the known disciplinary history of the applicant, this applicant is given a Risk Rating of:

2

Deciding User: ACES

Deciding Time: 12 Feb 2015 21:53:20 EST

Additional Remarks: Reopen of an ND client account.\n

Prior Approval Decision		Show
Decision: Accepted (Initial) On 15 Apr 2014 16:03:34 EDT		show
<p>Decision: Accepted (Initial)</p> <p>Proclamations:</p> <p>I have reviewed the foregoing account application. Based upon the facts and circumstances presented including, but not limited to: the nature of the applicant's business and the markets it serves; the type of account for which the applicant has applied (i.e., cleared or execution-only, proprietary or customer, fully-disclosed or omnibus); the type, purpose and anticipated activity of the account; the nature and duration of IB's relationship with the applicant; publicly available information regarding the anti-money laundering and supervisory regime of the jurisdiction in which the applicant is located, formed and regulated and the jurisdiction where persons with a large ownership interest in the account are located; and the known disciplinary history of the applicant, this applicant is given a Risk Rating of:</p> <p>2</p> <p>Deciding User: ACES</p> <p>Deciding Time: 15 Apr 2014 16:03:34 EDT</p> <p>Additional Remarks: Non-disclosed account automatically created.\n</p>		

ACCOUNT CAPABILITIES

Approved Capabilities	[MULT, STK]
Activated Capabilities	[STK]

ACCOUNT UPGRADE DECISION

All Requested Capabilities: MULT STK

Decision: Accepted

Proclamations:

Deciding Officer:

Deciding Time: 12 Feb 2015 21:53:20 EST

Additional Remarks:

ADDITIONAL APPLICANT/REGISTRATION INFORMATION

4/9/2015 10:56 AM

Summary Information for SOU CHENG LAI

https://ibcust101.6443/CAST/DocumentHandling/accountInformation?user_name=laisc1824&a...

ADDITIONAL APPLICANT/REGISTRATION INFORMATION			
APPLICANT INFO			
Applicant ID: 2094935	Primary Phone: 85366435744		
Country of Legal residence: Macao Special Administrative Region of China	Secondary Telephone: 85366601729		
Applicant Citizenship: Macao Special Administrative Region of China	Mailing Address: ESTRADA DE SETE TANQUES, 40 EDF VISTA LINDA 12 ANDAR C TAIPA, MACAU Macao Special Administrative Region of China		
Market Data Status: Professional	Marketing/Sales Info:		
	Whitebranding ID: ustrader2		
Change Applicant Information			
INVESTMENT EXPERIENCE			
	Years of Experience	# of Trades per Year	Knowledge Level
Stocks	N/A	N/A	0
Options	N/A	N/A	0
Commodities	N/A	N/A	0
Bond	N/A	N/A	0
FX	N/A	N/A	0
CFD	N/A	N/A	0
FINANCIAL INFORMATION			
Estimated Net Worth	N/A	Estimated Liquid Net Worth	N/A
Net Income	N/A	Sources of Funds (Other than regular income)	See attached documents
Total Assets	N/A	Accredited Investor for Private Placement?	No
		Invited to Private Placement?	No
INVESTMENT OBJECTIVES			
N/A			
Edit Objective			
DISCIPLINARY EVENTS			
QUESTION	ANSWER	NATIVE ANSWER	
Has the account holder ever been the subject of, or initiated, litigation, arbitration or any other type of dispute or settlement procedure with another broker or dealer?	N/A	N/A	
Has the account holder ever been the subject of an investigation or proceeding by any commodities or securities exchange or regulatory authority or self-regulatory authority?	N/A	N/A	
COMPLIANCE/REGULATORY INFORMATION			
Add Broker-Dealer Affiliation			

3 of 4

4/9/2015 10:56 AM

Summary Information for SOU CHENG LAI

https://ibcust101:6443/CAST/DocumentHandling/accountInformation?user_name=laiscl824&a...

COMPLIANCE/REGULATORY INFORMATION

Add Broker-Dealer Affiliation

QUESTION	ANSWER	NATIVE ANSWER
Is the account holder a member of an exchange or an associated person, affiliated person or employee of an exchange member?	N/A	N/A
Is the account holder a member of a regulatory or a self-regulatory organization?	N/A	N/A
Is the account holder: i) a director; ii) a 10% shareholder; or iii) a policy-making officer of any publicly traded company? (Restricted or Controlled Stock)	N/A	N/A
Is exactly a registered financial advisor?	N/A	N/A
Accepted Futures Arbitration Agreement?	No Decision	No Decision

Edit Compliance Information

Change Arbitration Agreement

APPLICANT ASSOCIATED ENTITIES

Show all

MS: SOU CHENG LAI (ACCOUNT HOLDER)

<p>Ms. SOU CHENG LAI Individual (21695890)</p> <p>Ownership Ownership percentage: 100.0 Detailed Ownership Information</p> <p>Contact info Home Phone: 85366435744 Work Phone: 85366601729 Home (PRIMARY): (853) +85366435744 details</p> <p>Work (ADDITIONAL): (853) +85366601729 details</p>	<p>Personal info Citizenship: Macao Special Administrative Region of China DOB: [REDACTED] 1969</p> <p>Legal IDs National ID: [REDACTED] (Macao Special Administrative Region of China)</p> <p>Addressing Residential Address: ESTRADA DE SETE TANQUES, 40 EDF VISTA LINDA 12 ANDAR C TAIPA, MACAU Macao Special Administrative Region of China Mailing Address: Same as residential address</p>	<p>Employer info Employment Status: UNEMPLOYED</p>
---	---	---

[Change Info](#)
[Request Proof of ID and DOB](#)
[Request Proof of Address](#)
[Request Proof of SSN](#)
[Mark as PEP](#)
[Ownership History](#)

Sessions:
User: laisc824 [REDACTED] 5376
Active in TWS: Yes
Token Type: N/A

Customer Account Supervision System - Interactive Brokers

SUMMARY INFORMATION FOR SOU CHENG LAI

CUSTOMER SUMMARY FOR SOU CHENG LAI	
Title:	SOU CHENG LAI
Applicant ID:	2094935
Type:	INDIVIDUAL - Non-disclosed IBroker Client Master: 1784640 - Sun Hung Kai Investment Services Limited
Legal Country:	Macao Special Administrative Region of China
Mailing Address:	ESTRADA DE SETE TANQUES, 40 EDF VISTA LINDA 12 ANDAR C, TAIPA, MACAU, Macao Special Administrative Region of China
E-mail Address:	ustrading@shkustrader.com
Primary user name:	laiscIB24
Employer:	Set/Unset Employer
Good-faith Review:	
CAFFI - Risk Ranking 2	
RELATIONSHIP TO CURRENT ML RISK COUNTRY - Applicant (Legal Residence/Mailing Address) Account Holder	
RELATIONSHIP TO Non FATF COUNTRY - Applicant (Legal Residence/Mailing Address) Account Holder	

ACCOUNT SUMMARY FOR 5376			
ID:	5376 (alias: 5376- laiscIB24-cash) (VAN: 5376-)	Equity yesterday:	754,894 USD
Type:	Active Trader	Started:	11 Apr 2014
Activated Capabilities:	STK	Approved:	15 Apr 2014
Status:	Open. Clearing Status	Opened:	15 Apr 2014
Phylum:	C- Customer	Funded:	25 Apr 2014
Priority:	NOT SET Change Priority	Closed:	
IB Entity:	IBLLC-US	Operator:	
Currency:	USD	Estate:	

TMS tickets TMS sticky notes Assign to ASG Account Diagnostic

ACCOUNT APPROVAL DECISION	
DATE OPENED	DATE CLOSED
2014-04-15 16:34:27	

Decision: Accepted (Initial)

Proclamations:

I have reviewed the foregoing account application. Based upon the facts and circumstances presented including, but not limited to: the nature of the applicant's business and the markets it serves; the type of account for which the applicant has applied (i.e., cleared or execution-only, proprietary or customer, fully-disclosed or omnibus); the

Proclamations:

I have reviewed the foregoing account application. Based upon the facts and circumstances presented including, but not limited to: the nature of the applicant's business and the markets it serves; the type of account for which the applicant has applied (i.e., cleared or execution-only, proprietary or customer, fully-disclosed or omnibus); the type, purpose and anticipated activity of the account; the nature and duration of IB's relationship with the applicant; publicly available information regarding the anti-money laundering and supervisory regime of the jurisdiction in which the applicant is located, formed and regulated and the jurisdiction where persons with a large ownership interest in the account are located; and the known disciplinary history of the applicant, this applicant is given a Risk Rating of:

2

Deciding User: ACES

Deciding Time: 15 Apr 2014 16:03:34 EDT

Additional Remarks: Non-disclosed account automatically created/n

ACCOUNT CAPABILITIES

Approved Capabilities	[MULT, STK]
Activated Capabilities	[STK]

ACCOUNT UPGRADE DECISIONS

No Upgrade Decisions yet

ADDITIONAL APPLICANT/REGISTRATION INFORMATION

APPLICANT INFO

Applicant ID: 2094935	Primary Phone: 85366435744
US Tax ID: N/A	Secondary Telephone: 85366601729
Country of Legal residence: Macao Special Administrative Region of China	Mailing Address #: ESTRADA DE SETE TANQUES
Applicant Citizenship: Macao Special Administrative Region of China	40 EDF VISTA LINDA 12 ANDAR C
State of Legal residence: N/A	TAIPA, N/A MACAU
Market Data Status: Professional	Macao Special Administrative Region of China
	Marketing/Sales Info:
	N/A
	Whitebranding ID: ustrader2

Change Applicant Information*

INVESTMENT EXPERIENCE

	Years of Experience	# of Trades per Year	Knowledge Level
Stocks	N/A	N/A	0
Options	N/A	N/A	0
Commodities	N/A	N/A	0
Bond	N/A	N/A	0
FX	N/A	N/A	0
CFD	N/A	N/A	0

FINANCIAL INFORMATION

Estimated Net Worth	N/A	Estimated Liquid Net Worth	N/A
---------------------	-----	----------------------------	-----

FINANCIAL INFORMATION

Estimated Net Worth	N/A	Estimated Liquid Net Worth	N/A
Net Income	N/A	Sources of Funds (Other than regular income)	Sources of Income
Total Assets	N/A	Accredited Investor for Private Placement?	No
		Invited to Private Placement?	No

INVESTMENT OBJECTIVES

N/A

Edit Objective

DISCIPLINARY EVENTS

QUESTION	ANSWER	NATIVE ANSWER
Has the account holder ever been the subject of, or initiated, litigation, arbitration or any other type of dispute or settlement procedure with another broker or dealer?	N/A	N/A
Has the account holder ever been the subject of an investigation or proceeding by any commodities or securities exchange or regulatory authority or self-regulatory authority?	N/A	N/A

COMPLIANCE / REGULATORY INFORMATION

Add Broker-Dealer Affiliation >

QUESTION	ANSWER	NATIVE ANSWER
Is the account holder a member of an exchange or an associated person, affiliated person or employee of an exchange member?	N/A	N/A
Is the account holder a member of a regulatory or a self-regulatory organization?	N/A	N/A
Is the account holder: i) a director; ii) a 10% shareholder; or iii) a policy-making officer of any publicly traded company? (Restricted or Controlled Stock)	N/A	N/A
Is exactly a registered financial advisor?	N/A	N/A
Accepted Futures Arbitration Agreement?	No Decision	No Decision

Edit Compliance Information > Change Arbitration Agreement >

APPLICANT ASSOCIATED ENTITIES

Hide all >

Personal Information for Ms. SOU CHENG LAI (Account Holder)		show >
Ms. SOU CHENG LAI		
Entity ID: 21695890		
Ownership percentage: 100.0 Detailed Ownership Information >		
US-ASCII Fields		
Citizenship: Macao Special Administrative Region of China	# of Dependents:	
DOB: [REDACTED] 1969	Marital Status:	
City of Birth:	Mother's Maiden Name:	
Drivers Lic #:		
Alien ID:	Occupation:	
Passport:	Employment Status: UNEMPLOYED	
National ID: [REDACTED] (Macao Special Administrative Region of China)	Employer:	

Detailed Ownership Information >

Drivers Lic #:

Alien ID:

Passport:

National ID: (Macao Special Administrative Region of China)

has Greencard: false

Home Phone: 85366435744

Work Phone: 85366601729

Occupation:

Employment Status: UNEMPLOYED

Employer:

Employer Business:

Employer Address:

Residential Address: ESTRADA DE SETE TANQUES,
40 EDF VISTA LINDA 12 ANDAR C
TAIIPA,MACAU
Macao Special Administrative Region of China

Mailing Address: Same as residential address

Business Nature Extended:

Country Mismatch Description:

Change Info >

Request Proof of ID and DOB >

Request Proof of Address >

Request Proof of SSN >

Mark as PEP >

Ownership History >

Sessions:

User: laacib24 (5375)	Active in TWS: Yes	Role: OWNER	Token Type: N/A	Entry Remov function moved to User Name page
-----------------------	--------------------	-------------	-----------------	---

REGISTRATION STATUS

CUSTOMER SUMMARY FOR SOU CHENG LAI	
Title:	SOU CHENG LAI
Applicant ID:	2094935
Type:	INDIVIDUAL - Non-disclosed IBroker Client Master: 1784640 - Sun Hung Kai Investment Services Limited
Legal Country:	Macao Special Administrative Region of China
Mailing Address:	ESTRADA DE SETE TANQUES, 40 EDF VISTA LINDA 12 ANDAR C, TAIPA, MACAU, Macao Special Administrative Region of China
E-mail Address:	ustrading@shkustrader.com
Primary user name:	laiscl624
Employer:	Set/Unset Employer
Good-faith Review:	
CAFFI - Risk Ranking	2
RELATIONSHIP TO CURRENT ML RISK COUNTRY - Applicant (Legal Residence/Mailing Address) Account Holder	
RELATIONSHIP TO Non FATF COUNTRY - Applicant (Legal Residence/Mailing Address) Account Holder	

ACCOUNT SUMMARY FOR 5376	
ID:	5376 (alias: 5376- laisc1824-cash) (VAN: 5376-)
Type:	Active Trader
Activated Capabilities:	STK
Status:	Open. Clearing Status
Phylum:	C - Customer
Priority:	NOT SET Change Priority
IB Entity:	IBLLC-US
Currency:	USD
Equity yesterday:	754,894 USD
Started:	11 Apr 2014
Approved:	15 Apr 2014
Opened:	15 Apr 2014
Funded:	25 Apr 2014
Closed:	
Operator:	
Estate:	

TMS tickets

TMS sticky notes

Assign to ASG

Account Diagnostic

Registration Process	Dynamic Registration Tasks	Approval Requirements	Customer Tasks
Summary of Steps			
Online steps Completed	Paper PDF Forms Not required	Funding Instruction Not required	407 Letter Not required
ID Documents Received	Equifax Not required	OFAC Status Completed WordCheck Status Completed	Other compliance checks Not required
Application			

Workcheck Status	not required
Completed	

Application	
Application Type: FULL	Process Type: CUST_ENTRY - CUSTOMER
Current Sequence: APPLICATION	Multi Account Eligible: No
Status: APP_STATUS	Multi Master Account:

View All Registration Steps>

Application Steps	
APPLICATION	
APP_STATUS	
-	

ONLINE STEPS REQUIRED TO OPEN OR UPGRADE ACCOUNT

Sort Steps By Name

Account	Registration Step	Status/ Date Completed	Type
All required online steps completed Hide all			
5376	Margin and Products	15 Apr 2014 21:48:05 EDT	to complete
5376	Market Data Selection	25 Apr 2014 10:17:09 EDT	to complete
5376	W-8Ben	11 Apr 2014 06:11:06 EDT	to complete
Current Status: W-0			

OTHER ONLINE STEPS (NOT REQUIRED TO OPEN OR UPGRADE ACCOUNT)

No other registration steps required for this Account.

DOCUMENT COPY OF ONLINE FORMS

Account	Registration Step	Status/ Date Completed	Type
All documents received Hide all			
5376	W-8Ben	14 Apr 2014 22:08:50 EDT	to send
Current Status: W-0			

DOCUMENT SUBMISSION STEPS

Document required	Document received	Processing notes	Account id
All required documents sent Hide all			
Proof of identity and date of birth for Ms. SOU CHENG LAI (Account Holder)	Received National ID via E-mail on 11 Apr 2014 06:43:35 EDT	Tentatively Accepted (ewong) on 14 Apr 2014 22:08:50 EDT	U1345376
		Tentatively Accepted	

Proof of identity and date of birth for Ms. SOU CHENG LAI (Account Holder)	Received letter from (ewong) via E-mail on 11 Apr 2014 06:43:35 EDT	(ewong) on 14 Apr 2014 22:08:50 EDT	U1345376
Proof of address for Ms. SOU CHENG LAI (Account Holder)	Received Utility Bill via E-mail on 11 Apr 2014 06:43:35 EDT	Tentatively Accepted (ewong) on 14 Apr 2014 22:08:50 EDT	U1345376

407 LETTER/EMAIL FROM EMPLOYER REQUIRED DUE TO BROKER-DEALER AFFILIATION

No Employer Email (407 letter) required for this Account.

EQUIFAX ID/ADDRESS VERIFICATION REPORTS

No Equifax/CDC verification reports for this Account.

OFAC, SANCTIONED AND CONTROL LIST/PROHIBITED CUSTOMER LIST SEARCHES

Name	Matches	
Search (# 87313842) for Ms. SOU CHENG LAI (Account Holder)		Complete - no match found hide
SOU CHENG LAI	No Matches found.	Processing time: 27 Sep 2014 04:51:19 EDT

WorldCheck TASKS

Name	Matches	
WorldCheck Search (# 87313843) for Ms. SOU CHENG LAI (Account Holder)		False positive - Not an actual match. hide
SOU CHENG LAI	Match found. Name Match: Kun Cheng LAI Name Match: Wen Cheng LAI Name Match: Chung Cheng LAI Name Match: Lai King CHENG Name Match: Sou Tien LAI See Match Details	Processing time: 11 Apr 2014 06:14:57 EDT

COMPLIANCE REVIEWS

No compliance reviews required for this Account.

HRGIP COMPLIANCE REVIEWS

No compliance reviews required for this Account.

Customer Account Supervision System - Interactive Brokers

Customer Account Supervision System - Interactive Brokers



CERTIFICATION

Schreiber Translations, Inc.

51 Monroe Street

Suite 101

Rockville, MD 20850

P: 301.424.7737

F: 301.424.2336

This is to certify that the attached English language documents are true and accurate translations of the original Chinese language documents to the best of our knowledge and belief. The documents are identified as below:

"03_17_2015 12_10_06 EDT (75)", "03_17_2015 16_38_58 EDT (75)", "03_18_2015 11_48_14 EDT (125)", "08_18_2014 21_45_21 EDT_4 (75)", "08_18_2014 21_45_21 EDT_5 (25)", "SEC-HKSFC-E-0000179 (175)", "SEC-HKSFC-E-0000265 (400)", "SEC-HKSFC-E-0000458 (400)", "SEC-HKSFC-E-0000550 (375)"

Executed this 29th day
of June, 2016

Schreiber Translations, Inc.
51 Monroe Street, Suite 101
Rockville, Maryland 20850
ATA Member 212207

Schreiber Translations, Inc. uses all available measures to ensure the accuracy of each translation, but shall not be held liable for damages due to error or negligence in translation or transcription.